

COMMONWEALTH OF VIRGINIA



Information Technology Resource Management Standard

POLICIES, STANDARDS, AND GUIDELINES: PROCESS FOR INITIATION, DEVELOPMENT, REVIEW, APPROVAL AND PROMULGATION

Virginia Information Technologies Agency (VITA)

ITRM PUBLICATION VERSION CONTROL

ITRM Publication Version Control: It is the user's responsibility to ensure they have the latest version of this ITRM publication. Questions should be directed to the Associate Director for Policy, Practice and Architecture (PPA) at VITA's Strategic Management Services (SMS). SMS will issue a Change Notice Alert and post on the VITA Web site, provide an email announcement to the Agency Information Technology Resources (AITRs) (see Appendix E) at all state agencies and institutions as well as other parties PPA considers to be interested in the change.

This chart contains a history of this ITRM publication's revisions.

Version	Date	Purpose of Revision
Original	08/10/2000	Base Document
Revision 1	12/08/2004	Updated "Authority," "General Responsibilities;" restructured and number each section, sub-section (see Appendix F: PSG Development Style Guide); separated PSG procedure into 3 processes: Promulgation, Revision, and Rescission; amended each Process Flowchart to reflect tasks described in Steps 1 – 7; added Appendices A – F and H; and changed the alphanumeric Publication Designator scheme in Appendix G: Designators for PSGs.

PREFACE

Publication Designation

ITRM Standard GOV101-01: Policies, Standards, and Guidelines: Process for Initiation, Development, Review, Approval, and Promulgation (First revision to former: COV ITRM Standard 2000-01.1)

Subject

Policies, Standards, and Guidelines: Process for Initiation, Development, Review, Approval, and Promulgation

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December 8, 2004

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December 8, 2004

Supersedes

ITRM Standard GOV 2000-01.1, August 10, 2000

Scheduled VITA Review:

One (1) year from the effective date, then every two years thereafter.

Authority

Code of Virginia, §2.2-2007

(Powers and duties of the CIO)

Code of Virginia, §2.2-2005 et seq.

(Powers and Duties and the Virginia Information Technologies Agency; "VITA")

Code of Virginia, §2.2-2457; §2.2-2458

(Powers and Duties of the Information Technology Investment Board; the "Board")

Scope

This standard is applicable to all State Executive Branch agencies and institutions of higher education (collectively referred to as "Agency") that manage, develop, purchase, and use information technology resources in the Commonwealth of Virginia.

Purpose

To establish a comprehensive and uniform process for developing, adopting, and distributing Commonwealth of Virginia (COV) Policies, Standards, and Guidelines (PSG) for use in information technology resource management (ITRM). The established process includes the initial promulgation and continuous management oversight of all ITRM documents.

Responsibilities

(Italics indicate quote from the Code of Virginia requirements)

The Chief Information Officer of the Commonwealth (CIO)

In addition to such other duties as the Board may assign, the CIO shall:

- *Direct the formulation and promulgation of policies, guidelines, standards, and specifications for the purchase, development, and maintenance of information technology for state agencies.*
- *Direct the development of policies and procedures, in consultation with the Department of Planning and Budget, that are integrated into the Commonwealth's strategic planning and performance budgeting processes, and that state agencies and public institutions of higher education shall follow in developing information technology plans and technology-related budget requests.*
- *Direct the development of policies and procedures for the effective management of information technology investments throughout their entire life cycles, including... at a minimum, the periodic review by the CIO of agency and public institution of higher education information technology projects estimated to cost \$1 million or more or deemed to be mission-critical or of statewide application by the CIO.*
- *Direct the development of policies and procedures that require VITA to review information technology projects proposed by state agencies and institutions exceeding \$100,000, and recommend whether such projects be approved or disapproved.*
- *Direct the establishment of statewide standards for the efficient exchange of electronic information and technology, including infrastructure, between the public and private sectors in the Commonwealth.*
- *Develop statewide technical and data standards for information technology and related systems to promote efficiency and uniformity.*

The Virginia Information Technologies Agency (VITA)

VITA shall have the following additional powers which, with the approval of the CIO, may be exercised by a division of VITA with respect to matters assigned to that division:

- *Develop and adopt policies, standards, and guidelines for managing information technology by state agencies and institutions.*
- *Develop and adopt policies, standards, and guidelines for the procurement of information technology and telecommunications goods and services of every description for state agencies.*

**The Information Technology Investment
Board (the Board)**

*Approve strategies, standards, and priorities
recommended by the Chief Information Officer
for the use of information technology for state
agencies in the executive branch of state
government;*

All State Agencies

Responsible for complying with all ITRM policies and
standards and for considering all ITRM guidelines issued.

***Related ITRM Policies, Standards, and
Guidelines***

ITRM Policy GOV 102-00: Information Technology
Resource Management

TABLE OF CONTENTS

ITRM PUBLICATION VERSION CONTROL.....	2
PREFACE.....	3
1. INTRODUCTION	3
1.1 Purpose.....	3
1.2 Definitions of a Policy, Standard, and Guideline	3
2. PSG PROCESS: INITIATION, DEVELOPMENT, REVIEW, APPROVAL AND PROMULGATION.....	4
2.1 General Approach	4
2.2 PSG Process Flowchart and Description	4
2.3 PSG Promulgation or Revision Process.....	5
2.3.1 STEP 1. <i>Requestor Initiates the PSG</i>	6
2.3.2 STEP 2. <i>Evaluate Merits of the PSG Request</i>	6
2.3.3 STEP 3. <i>Develop and Post Draft PSG for Comment</i>	7
2.3.4 STEP 4. <i>Draft PSG Forwarded to Director of SMS</i>	8
2.3.5 STEP 5. <i>Draft PSG Forwarded to CIO for Review</i>	8
2.3.6 STEP 6. <i>Board Review</i>	9
2.3.7 STEP 7. <i>Publish and Distribute</i>	10
2.4 PSG Rescission Process	12
2.4.1 STEP 1. <i>Initiate the PSG Rescission</i>	13
2.4.2 STEP 2. <i>Evaluate Merits of the PSG Rescission</i>	13
2.4.3 STEP 3. <i>Post Draft PSG Rescission for Comment</i>	14
2.4.4 STEP 4. <i>Decision Paper Forwarded to the Director of SMS</i>	15
2.4.5 STEP 5. <i>Decision Paper PSG Forwarded to CIO</i>	15
2.4.6 STEP 6. <i>Board Review</i>	16
2.4.7 STEP 7. <i>Rescind and Archive</i>	16
5.5 Timeline for Promulgation, Revision, and Rescission of PSGs	18
3 APPENDICES	20
3.1 APPENDIX A: Initiate PSG	20
3.2 APPENDIX B: Transmitting Memorandum to the CIO	21
3.3 APPENDIX C: Transmitting Memorandum to the Board	23
3.4 APPENDIX D: Email Communiqué to Leadership	27
3.5 APPENDIX E: Email Announcement to AITRs	28
3.6 APPENDIX F: PSG Development Style Guide	29
3.7 APPENDIX G: Designators for PSGs.....	35
3.8 APPENDIX H: Resolution of the Board	37

1. INTRODUCTION

1.1 Purpose

This standard establishes a comprehensive and uniform process for Initiation, Development, Review, Approval, and Promulgation of Policies, Standards, and Guidelines (PSGs) for use in information technology resource management (ITRM) by executive branch agencies in the Commonwealth of Virginia. The established process includes the initial promulgation and continuous management oversight of all ITRM documents. This standard also defines the specific meaning of the terms ITRM “policies,” “standards,” “guidelines,” and “Other Policies, Standards, and Guidelines (not ITRM).”

1.2 Definitions of a Policy, Standard, and Guideline

- 1.2.1 ITRM Policy** – a document that elaborates on the Commonwealth’s information technology resource management philosophy by providing general statements of purpose, direction and required activities for one or more defined areas of the ITRM framework.
- 1.2.2 ITRM Standard** – a document that elaborates on the Commonwealth’s information technology resource management program by providing required technical or programmatic activities in detail for a specific area of the ITRM framework.
- 1.2.3 ITRM Guideline** – a document that provides information on optional activities related to an area of control for the Commonwealth’s information technology resource management program. Activities in guidelines are considered to be best practices but are not required.
- 1.2.4 Other Policies, Standards, and Guidelines (not ITRM)** – are documents prepared at the direction of the Governor and/or General Assembly, involve miscellaneous information technology related issues, and are not related to technology resource management. These documents are sometimes developed using procedures and formats similar to those used in the creation of ITRM policies and standards. However, if the area or topic addressed is outside of the ITRM framework, it will not have the designation of ITRM.

2. PSG PROCESS: INITIATION, DEVELOPMENT, REVIEW, APPROVAL AND PROMULGATION

2.1 General Approach

The Virginia Information Technologies Agency (VITA), with the approval of the Commonwealth's Chief Information Officer (CIO) or the Information Technology Investment Board (the Board), through its Strategic Management Services Directorate, develops, adopts and distributes necessary policies, standards, and guidelines that ensure the effective and efficient management of information technology resources by the Commonwealth of Virginia. The procedures described in this standard are intended to establish a continuous, collaborative process that assures appropriate user participation in the management oversight and promulgation of necessary policies, standards, and guidelines.

2.2 PSG Process Flowchart and Description

2.2.1 The **Process Flowchart** (Figures 1 & 2) presents a graphic representation of the step-by-step process flow for this standard. The flowchart is linked to the **Process Description** by the sequential numbers assigned to each block of the flowchart.

2.2.2 The **Process Description** provides a step-by-step, detailed explanation of the process. The individual descriptions of each step in the process identify the specific tasks involved in that step as well as the responsible individual or organization (WHO), and any associated time constraints or timing for the step (WHEN).

2.3 PSG Promulgation or Revision Process

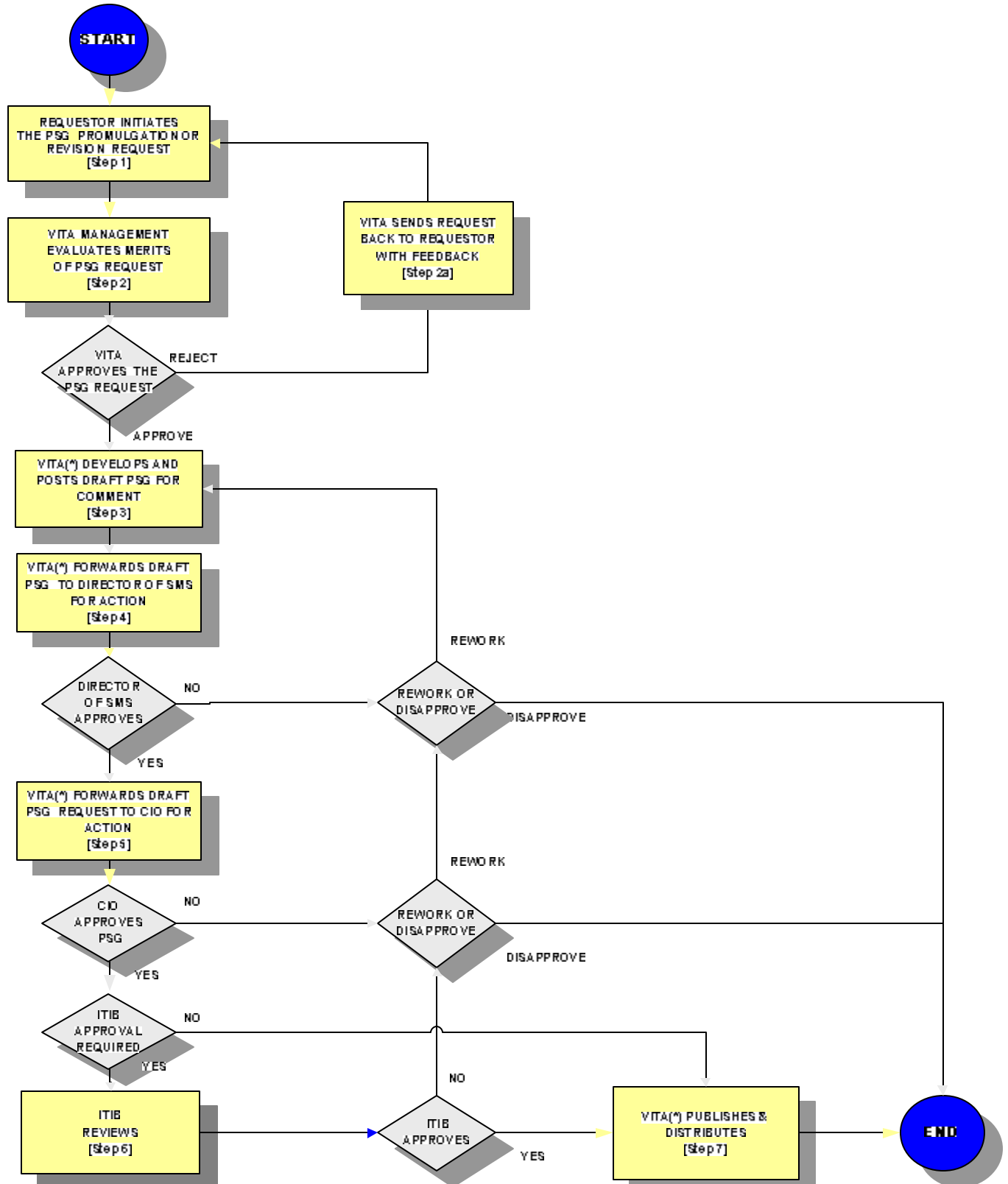


FIGURE 1. *Promulgation and Revision Process – Flowchart*

Policies, standards and guidelines (PSG) may be initiated at any time throughout the year. The following PSG process description provides a step-by-step explanation of the process as outlined in the process flowchart. The individual descriptions of each step in the process identify the specific tasks (TASKS) involved in that step as well as the responsible individual or organization (WHO), and any associated time constraints or timing for the step (WHEN).

2.3.1 STEP 1. *Requestor Initiates the PSG*

WHO: The Requestor (Board, CIO, VITA, other agencies, and other advisory bodies) sends a request for a new or revised policy, standard or guideline to the Policy, Practice and Architecture (PPA) Division of VITA's Strategic Management Services (SMS) Directorate.

TASK (a): The Requestor sends PPA a request for a new or revised policy, standard, or guideline (PSG). The request shall describe the intended purpose of the new or revised PSG in sufficient detail to allow for initial identification and coordination by PPA as well as identify the expected benefits.

TASK (b): All requests shall be reviewed by PPA and assigned a preliminary request number. PPA shall maintain a current log and status report of all requests under consideration.

WHEN: Within five (5) working days, PPA shall acknowledge receipt of the request.

2.3.2 STEP 2. *Evaluate Merits of the PSG Request*

WHO: PPA evaluates the merits of the requested PSG.

TASK (a): PPA consults with both the Requestor and Subject Matter Expert(s) (SME), as needed, to determine whether to proceed with the development of the requested PSG based on an evaluation of its merits. The evaluation shall consider, among other factors, the following:

- The intrinsic value of the PSG action being requested.
- The relationship and impact of the requested PSG on existing PSGs.
- The thoroughness of the documentation presented.
- Whether the requested PSG should be classified as an ITRM PSG or a non-ITRM PSG.
- SMS resources and workload.

TASK (c): If PPA recommends the development of the requested PSG, the process shall move to Step 3. If PPA does not recommend development, the revision request shall be returned to the Requestor with an explanation.

WHEN: Within ten (10) working days, PPA shall advise the Requestor whether it recommends development of the PSG, or requires more documentation to make a determination, or the decision not to develop. If development is recommended, PPA

shall advise the Requestor of the estimated process timeline and the name of the SME assigned to the request.

2.3.3 STEP 3. *Develop and Post Draft PSG for Comment*

WHO: PPA shall identify the appropriate PSG Lead Organization and in partnership with the Lead Organization appoint a suitable individual as the Document Leader. The Document Leader is an SME, serves as the primary functional Point of Contact, and is responsible for the development of the draft PSG and its submission to PPA. PPA will facilitate and assist the Lead Organization and the Document Leader with the development of the PSG. The Document Leader shall continue to support PPA throughout the document lifecycle. The Document Leader may organize a PSG development team to develop the content of the PSG documents.

TASK (a): Although the specific contents of the draft will depend upon the nature and complexity of the PSG request, the draft shall generally contain the following information:

- Assigned Publication Designation (See Appendix G).
- Subject.
- Proposed effective date.
- Proposed review schedule.
- The authority that is the legal basis for the PSG.
- The scope and purpose of the PSG.
- General responsibilities for implementation.
- Benefit analysis.
- Review the documents to be superseded, if any, resulting from implementation of the PSG.
- The statement of the PSG.

The draft PSG shall adhere to the PSG Development Style Guide defined in Appendix F.

TASK (b): Upon completion of the draft, PPA shall post it on the VITA online review and comment application (ORCA) for thirty (30) calendar days to facilitate review and comment by all interested parties. PPA shall notify Agency Information Technology Resources (AITRs) at all Executive Branch Agencies of the posting, as well as other parties PPA considers to be necessary to the development of the draft. Additionally, PPA shall coordinate with the VITA Executive Support and Communications group to further publicize the draft PSG document.

TASK (c): PPA shall email a confirmation to each respondent upon receipt of their comments on the proposed PSG via ORCA.

TASK (d): PPA shall compile all of the comments received via ORCA into a single document. Together with the Document Leader, PPA shall coordinate the development of responses to each of the comments. When complete, a copy of the response document shall be provided to each of the respondents. In cases where a

specific question or issue deserves or requires a more in-depth response than can reasonably be included in a single document, the document shall summarize the response as well as acknowledge a more detailed response shall be forthcoming to the pertinent respondent. At the discretion of PPA, documents shall be reposted for review if there are material changes as a result of the review process.

TASK (e): Upon completion of the comment period, PPA together with the Document Leader shall produce a final draft PSG.

WHEN: PPA and the Document Leader shall establish a schedule for the development or revision of the PSG. The schedule shall be based on (a) the complexity of the document, (b) the development resources available, (c) thirty (30) calendar days for the ORCA review and comment period, and (d) the level of review determined by the final approval authorities (CIO/Board). Within thirty (30) calendar days following the ORCA review period, PPA, in collaboration with those who developed the draft, shall review all the comments received in ORCA, provide a single document of the comments and VITA responses, and produce a final draft PSG.

2.3.4 STEP 4. *Draft PSG Forwarded to Director of SMS*

WHO: PPA and the Document Leader shall present the draft PSG to the Director of VITA's Strategic Management Services (SMS) for review.

TASK (a): The transmitting memorandum to the Director of SMS shall confirm that the draft PSG supports the Commonwealth Enterprise Architecture, identify the benefits derived from the PSG, analyze the facts in support of or against a decision by the Director of SMS to recommend the PSG to the Chief Information Officer of the Commonwealth (CIO) for approval, and review any documents to be superseded as a result of the creation of the PSG.

TASK (b): At this point in the process, the Director of SMS may:

- (i) Approve the PSG draft and send it to the CIO for review (Step5);
- (ii) Return the PSG for rework by PPA (Step 3); or,
- (iii) Disapprove the PSG altogether and withdraw it from further consideration.

WHEN: Within ten (10) working days the Director of SMS shall notify PPA of his/her decision. Within five (5) working days of the notification, PPA shall notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly.

2.3.5 STEP 5. *Draft PSG Forwarded to CIO for Review*

WHO: PPA and the Document Leader, on behalf of the Director of SMS, shall present the draft PSG to the CIO for review.

TASK (a): The transmitting memorandum to the CIO, prepared by PPA on the form in Appendix B, shall confirm that the draft PSG supports the Commonwealth Enterprise Architecture, identify the benefits derived from the PSG, analyze the facts in support of or against a decision by the CIO to recommend the PSG to the Board for approval, and review any documents to be superseded as a result of the creation of the PSG.

TASK (b): At this point in the process, the CIO may:

- (i) Approve the PSG draft if it;
 - a. is a standard or guideline that does not affect the Board's operation (See Appendix H: Resolution of the Board), then it is sent directly to Step 7 for publication and distribution; or,
 - b. is a policy, standard, or guideline that affects the Board's operation, it continues to Step 6 for Board review and approval (the CIO may ask PPA to make minor modifications prior before sending the PSG to the Board);
- (ii) Return the PSG for rework by PPA (Step 3); or,
- (iii) Disapprove the PSG altogether and withdraw it from further consideration.

WHEN: The CIO shall notify the Board of his/her intent to approve a PSG five (5) working days prior to taking action. If after the five (5) working day notice period, no Board member requests that the intended CIO action be presented for review at a meeting of the Board, the CIO shall notify PPA accordingly. Within five (5) working days of the CIO notification PPA shall, if approved, publish and distribute the PSG or, if requiring Board review, or if disapproved, notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly.

2.3.6 STEP 6. Board Review

WHO: At the request of the CIO, PPA and the Document Leader shall prepare the transmitting memorandum from the CIO to present the draft PSG to the Board for its review and approval, disapproval or return.

TASK (a): The transmitting memorandum from the CIO to the Board on the form in Appendix C shall confirm that the PSG supports the Commonwealth Enterprise Architecture, identify the benefits derived from the PSG, analyze the facts in support of the decision by the CIO to approve or recommend approval of the PSG to the Board, and review any documents to be superseded as a result of the creation of the PSG.

TASK (b): At this point in the process, the Board may:

- (i) Approve the PSG draft and it continues to Step 7 for publication and distribution;
- (ii) Return the PSG for rework by PPA (Step 3); or,
- (iii) Disapprove the PSG altogether and withdraw it from further consideration.

WHEN: The Board will be provided with not less than thirty (30) days to review the draft PSG. Following its review, the Board may approve, disapprove, or return the draft PSG and notify PPA of its decision and PPA shall notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly.

2.3.7 STEP 7. *Publish and Distribute*

WHO: PPA shall prepare the approved PSG for publication and distribution as well as notify the stakeholders.

TASK (a): Following the approval of the Board/CIO, the PSG shall be issued, after the following notifications:

- PPA shall draft and submit a Leadership Communiqué (see Appendix D) announcing the forthcoming publication of a PSG to the Director of Strategic Management Services for forwarding to the Secretary of Administration.
- PPA shall draft and email (after the Leadership Communiqué has been disseminated) a notification of the forthcoming publication of a PSG to the Agency Information Technology Resources (AITRs) (see Appendix E) at all state agencies and institutions of higher education with copies to COTS members and Enterprise Service Directors. The notice shall confirm that the publication of the PSG does not adversely impact the Commonwealth Enterprise Architecture and explain the justification for its publication.
- Concurrent with the email to the AITRs, PPA shall arrange for the new or revised PSG to be published.
- PPA shall ask VITA Communications Group to draft an announcement of and the justification for the new or revised PSG and publish it to the VITA Homepage.

TASK (b): PPA shall inform the AITRs of their responsibility to ensure that all those in their agency, both at the management and technical level, who are involved with the subject matter of the PSG are aware of and understand the PSG.

TASK (c): PPA, together with VITA Communications Group and in coordination with the SMEs involved with the creation of the PSG document, shall:

- Develop a plan to communicate awareness of the document.
- Develop training materials to train staff in compliance with policies and standards as well as the use of guidelines.
- Utilize the AITRs to promote awareness of the document at both the management and technical levels.
- Utilize the training materials to train management and technical level staff.

WHEN: PPA shall publish and distribute the PSG within approximately ten (10) working days after receipt of the approval of the Board/CIO.

2.4 PSG Rescission Process

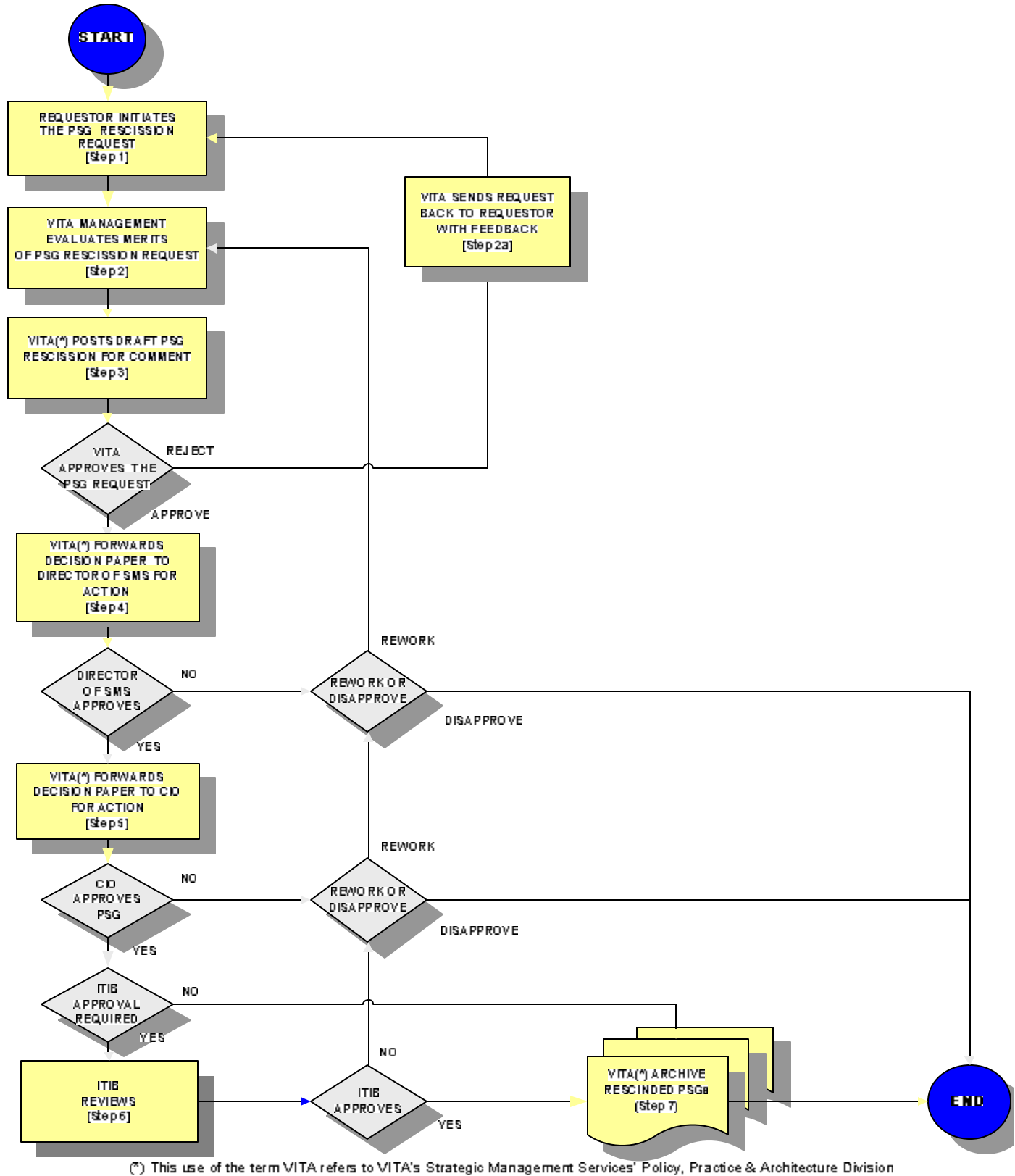


FIGURE 2. *Rescinding Process – Flowchart*

The process discussed in this section deals with separate requests to rescind PSGs. The process flow is provided in Figure 3 and the process description is outlined below.

2.4.1 STEP 1. *Initiate the PSG Rescission*

WHO: The Requestor (Board, CIO, VITA, other agencies, and other advisory bodies) sends a request to rescind an existing policy, standard, or guideline to the Policy, Practice and Architecture (PPA) Division of VITA's Strategic Management Services (SMS) Directorate.

TASK (a): The Requestor sends PPA a request to rescind an existing policy, standard, or guideline (PSG) describing the reason for rescinding the PSG.

TASK (b): All rescission requests shall be reviewed by PPA and assigned a preliminary request number. PPA shall maintain a current log and status report of all requests under consideration.

TASK (c): PPA, together with the Requestor, shall identify an appropriate individual to appoint as the Document Leader for a Decision Paper in support of the rescission. The Document Leader is an SME, serves as the primary functional Point of Contact and is responsible for the development of the draft Decision Paper and its submission to PPA. The Document Leader may organize a team to develop the content of the Decision Paper and shall continue to support PPA throughout the rescission lifecycle.

TASK (d): The specific contents of the Decision Paper shall depend upon the type of PSG being rescinded and shall include a statement confirming that the rescission will not negatively impact the Enterprise Architecture governance structure of the Commonwealth.

WHEN: Within five (5) working days of receiving the Decision Paper, PPA shall acknowledge its receipt.

2.4.2 STEP 2. *Evaluate Merits of the PSG Rescission*

WHO: PPA evaluates the merits of the Decision Paper in support of the PSG rescission.

TASK (a): PPA consults with both the Requestor and the Document Leader, as needed, to determine whether to recommend the PSG rescission based on an evaluation of its merits as stated in the Decision Paper. The evaluation shall consider, among other factors, the following:

- The impact of the requested PSG rescission on the mission of Executive Branch agencies and institutions of higher education.
- Impact on the Commonwealth Enterprise Architecture.
- The relationship and impact of the requested PSG rescission on existing PSGs.
- The thoroughness of the documentation presented.

TASK (b): If PPA recommends the requested PSG rescission, the process shall move to Step 3. If PPA does not recommend the requested PSG rescission, the Decision Paper shall be returned to the Requestor and Document Leader with an explanation.

WHEN: Within ten (10) working days, PPA shall advise the Requestor and Document Leader whether it recommends the PSG rescission, or requires more documentation to make a determination, or its decision is not to recommend rescinding the PSG.

2.4.3 STEP 3. *Post Draft PSG Rescission for Comment*

WHO: PPA shall post the Decision Paper on the VITA online review and comment application (ORCA) for a specified period of time to facilitate review and comment by all interested parties.

TASK (b): Upon approval to rescind the PSG publication, PPA shall post the Decision Paper on the ORCA for thirty (30) calendar days and notify Agency Information Technology Resources (AITRs) at all Executive Branch Agencies of the posting, as well as other parties PPA considers to be interested in the rescission of the PSG publication. Additionally, PPA shall coordinate with VITA Communications Group to further publicize the proposed rescission of the PSG.

TASK (c): PPA shall email a confirmation to each respondent upon receipt of their comments via ORCA on the proposed rescission of the PSG publication.

TASK (d): PPA shall compile all of the comments received via ORCA into a single document. Together with the Document Leader and VITA Communications Group, PPA shall coordinate the development of responses to each of the comments. When complete, a copy of the response document shall be provided to each of the respondents. In cases where a specific question or issue deserves or requires a more in-depth response than can reasonably be included in a single document, the document shall summarize the response as well as acknowledge a more detailed response shall be forthcoming to the pertinent respondent. At the discretion of PPA, documents shall be reposted for review if there are material changes as a result of the review process.

TASK (e): Upon completion of the comment period, PPA together with the Document Leader shall produce a final Decision Paper.

WHEN: PPA and the Document Leader shall establish a schedule for the rescission of the PSG publication. The schedule will be based (a) on thirty (30) calendar days for the ORCA review and comment period, and (b) the level of review determined by the final approval authorities (CIO/Board) to be appropriate. Within thirty (30) calendar days following the ORCA review period, PPA, in collaboration with those who developed the Decision Paper, shall review all the comments received in ORCA, provide a single document of the comments and VITA responses, and produce a final Decision Paper to rescind the PSG publication.

2.4.4 STEP 4. *Decision Paper Forwarded to the Director of SMS*

WHO: PPA shall present the Decision Paper to rescind the PSG to the Director of Strategic Management Services (SMS) for review.

TASK (a): The Decision Paper shall include a confirmation that the rescission will not negatively impact the Enterprise Architecture governance structure of the Commonwealth and contain a detailed justification for rescinding the PSG.

TASK (b): At this point in the process, the Director of SMS may:

- (i) Approve the PSG rescission request and send it to the CIO for review (Step 5); or,
- (ii) Return the Decision Paper with changes to be made (Step 2); or,
- (iii) Disapprove the PSG rescission altogether and withdraw it from further consideration.

WHEN: Within ten (10) working days the Director shall notify PPA of his/her decision. Within five (5) working days of the notification, PPA shall notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly.

2.4.5 STEP 5. *Decision Paper PSG Forwarded to CIO*

WHO: With approval from the Director of SMS, PPA shall present the Decision Paper to rescind the PSG to the CIO for review using the transmitting memorandum in Appendix B.

TASK (a): The Decision Paper shall include a confirmation that the rescission will not negatively impact the Enterprise Architecture governance structure of the Commonwealth and contain a detailed justification for rescinding the PSG.

TASK (b): At this point in the process, the CIO may:

- (i) Approve the PSG rescission request if it:
 - a. is a standard or guideline that does not affect the Board's operations (See Appendix H: Resolution of the Board), then the process continues directly to rescind and archive (Step 7);
 - b. is a policy or a standard or guideline that affects the Board's operations, it continues to Step 6 for the Board's review and approval (the CIO may ask PPA to make minor modifications before sending the Decision Paper to the Board);
- (ii) Return the Decision Paper with changes to be made (Step 2); or,
- (iii) Disapprove the PSG rescission altogether and withdraw it from further consideration.

WHEN: The CIO shall notify the Board of his/her intent to approve the rescission of a PSG five (5) working days prior to taking action. If after the five (5) working day

notice period, no Board member requests that the intended CIO action be presented for review at a meeting of the Board, the CIO shall notify PPA accordingly. Within five (5) working days of the CIO notification PPA shall, if approved, rescind and archive the PSG or, if requiring Board review, or if disapproved, notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly.

2.4.6 STEP 6. *Board Review*

WHO: At the request of the CIO, PPA shall draft the transmitting memorandum from the CIO presenting the Decision Paper to the Board for its review and approval, disapproval, or return.

TASK (a): The transmitting memorandum from the CIO to the Board, on the form in Appendix C (with logical modifications to reflect the rescission request), shall confirm that the PSG rescission does not adversely and materially impact the information technology capabilities supporting the citizens of the Commonwealth and explain the justification for its rescission.

TASK (b): At this point in the process, the Board may:

- (i) Approve the rescission request and the process continues to Step 7;
- (ii) Return the Decision Paper with changes to be made (Step 2); or,
- (iii) Disapprove the rescission request altogether and withdraw it from further consideration.

WHEN: At its meeting not less than thirty (30) days following receipt of the rescission request, the Board shall approve or disapprove the request, notify PPA of its decision and PPA shall notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly.

2.4.7 STEP 7. *Rescind and Archive*

WHO: PPA shall rescind the PSG and notify the stakeholders.

TASK (a): Following the approval of the rescission request by the Board/CIO, the PPA shall rescind the PSG, after the following notification:

- PPA shall draft and submit a Leadership Communiqué (see Appendix D) announcing the forthcoming rescission of a PSG to the Director of Strategic Management Services for forwarding to the Secretary of Administration.
- PPA shall draft and email (after the Leadership Communiqué has been disseminated) a notification of the forthcoming rescission of a PSG to the Agency Information Technology Resources (AITRs) (see Appendix E) at all state agencies and institutions of higher education with copies to COTS members and Enterprise Service Directors. The notice shall confirm that the recession does not adversely impact the Commonwealth Enterprise Architecture and explain the

justification for its recession. The email notice shall inform the AITRs that they shall be responsible to ensure that all those in their agency, both at the management and technical level, who are involved with the subject matter covered by the current PSG(s) are aware of and understand why it was rescinded.

- Concurrent with the email to the AITRs, PPA shall arrange for the PSG to be removed and archived.
- PPA shall ask VITA Communications Group to draft an announcement of and the justification for the rescission of the PSG and publish it to the VITA Homepage.

TASK (b): PPA, together with VITA Communications Group and in coordination with the SMEs involved with the creation of the Decision Paper, shall:

- Develop a plan to communicate awareness of the rescinded document.
- Utilize the AITRs to promote awareness of the document at both the management and technical levels.

WHEN: SMS shall rescind and archive the PSG(s) within approximately ten (10) working days after receipt of the approval of the CIO/Board.

5.5 Timeline for Promulgation, Revision, and Rescission of PSGs

TABLE I. *Promulgation & Revision Timeline*

Step	Approx. Duration (working Days)	Promulgation & Revision Activity
1	5 Days	➤ Within five (5) working days, PPA shall acknowledge receipt of the request.
2	10 Days	➤ Within ten (10) working days, PPA shall advise the Requestor: <ul style="list-style-type: none"> ○ whether it recommends development of the PSG, or ○ requires more documentation to make a determination, or ○ the decision not to develop. ➤ If development is recommended, PPA shall advise the Requestor of the estimated process timeline and the name of the SME assigned to the request.
3	60 + Days	➤ PPA and the Document Leader shall establish a schedule for the development or revision of the PSG. ➤ The schedule shall be based on (a) the complexity of the document, (b) the development resources available, (c) thirty (30) calendar days for the ORCA review and comment period, and (d) the level of review determined by the final approval authorities (CIO/Board). ➤ Within thirty (30) calendar days following the ORCA review period, PPA, in collaboration with those who developed the draft, shall review all the comments received in ORCA, provide a single document of the comments and VITA responses, and produce a final draft PSG.
4	15 Days	➤ Within ten (10) working days the Director of SMS shall notify PPA of his/her decision. Within five (5) working days of the notification PPA shall notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly
5	15 days	➤ The CIO shall notify the Board of his/her intent to approve a PSG five (5) working days prior to taking action. ➤ If after the five (5) working day notice period, no Board member requests that the intended CIO action be presented for review at a meeting of the Board, the CIO shall notify PPA accordingly. ➤ Within five (5) working days of the CIO notification PPA shall, if approved, publish and distribute the PSG or, if requiring Board review, or if disapproved, notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly.
6	30 + Days	➤ At its meeting, not less than thirty (30) days following receipt of the draft PSG, the Board may approve, disapprove, or return the draft PSG and notify PPA of its decision and PPA shall notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents.
7	10 Days	➤ PPA shall publish and distribute the PSG within approximately ten (10) working days after receipt of the approval of the Board or CIO.

NOTE: The promulgation timeline is based on the level of review determined by the approval authorities to be appropriate:

- CIO Final Approval: Steps 1- 5 & 7 = 115 days
- Board Final Approval: Steps 1 -7 = 145 days

TABLE II. Rescission Timeline

Step	Approx. Duration (working Days)	Rescission Activity
1	5 Days	➤ Within five (5) working days, PPA shall acknowledge receipt of the request.
2	10 Days	➤ Within ten (10) working days, PPA shall advise the Requestor whether it recommends the PSG rescission, or requires more documentation to make a determination, or its decision not to rescind the PSG. If rescission is recommended, PPA shall advise the Requestor accordingly.
3	60 + Days	<ul style="list-style-type: none"> ➤ PPA and the Document Leader shall establish a schedule for the rescission of the PSG publication. ➤ The schedule shall be based (a) on thirty (30) calendar days for the ORCA review and comment period, and (b) the level of review determined by the final approval authorities (Director of SMS/CIO/Board) to be appropriate. ➤ Within thirty (30) calendar days following the ORCA review period, PPA, in collaboration with those who developed the Decision Paper, shall review all the comments received in ORCA, provide a single document of the comments and VITA responses, and produce a final Decision Paper to rescind the PSG publication
4	15 Days	➤ Within ten (10) working days the Director shall notify PPA of his/her decision. Within five (5) working days of the notification, PPA shall notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly.
5	15 Days	<ul style="list-style-type: none"> ➤ Within five (5) working days the CIO shall notify the Board of his/her intent to approve or disapprove the Decision Paper. If, after the five (5) working day notice period, no Board member requests that the intended CIO action be presented for review at a meeting of the Board, the CIO shall notify PPA accordingly. ➤ Within five (5) working days of the CIO notification, PPA shall notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly.
6	30 + days	➤ At its meeting not less than thirty (30) days following receipt of the rescission request, the Board shall approve or disapprove the request and notify PPA of its decision and PPA shall notify the Requestor, the Lead Organization, the Document Leader, and the ORCA respondents accordingly
7	10 Days	➤ SMS shall rescind and archive the PSG(s) within approximately ten (10) working days after receipt of the approval of the CIO or Board.

NOTE: The rescission timeline is determined by the level of review chosen by the approval authorities to be appropriate:

- CIO Final Approval: Steps 1- 5 & 7 = 115 days
- Board Final Approval: Steps 1 -7 = 145days

3 APPENDICES

3.1 APPENDIX A: Initiate PSG

Initiate PSG Action	
Date Submitted:	
Requestor (Name, Phone & email):	
Organization:	
Suggested Subject Matter Expert:	
Target Effective Date	
Scope (v one)	<input type="checkbox"/> All Executive Branch Agencies & Institutions of Higher Education <input type="checkbox"/> Executive Branch Agencies <input type="checkbox"/> Institutions of Higher Education <input type="checkbox"/> Other:

1. **Purpose:** *[Describe the intended purpose of the new or revised PSG in sufficient detail to allow for initial identification and coordination by SMS]*
1.1.
2. **Definitions:**
2.1.
3. **Benefits:** *[Identify the benefits expected to result from the PSG]*
3.1.
4. **PSGs to be Superseded:** *[If applicable, identify all documents to be superseded as a result of promulgating the PSG]*
4.1.
5. **Identify the Stakeholders who should be involved in the development and/or approval reviews:**

Name	Agency	Email	Phone

6. Notification Block:

ACTION (v one)	COMMENT
<input type="checkbox"/> More Information is Necessary	
<input type="checkbox"/> Acknowledge Receipt of PSG Request	
SMS Action Party:	Date of Action:

3.2 APPENDIX B: Transmitting Memorandum to the CIO

3.2.1 PSG Promulgation or Revision

MM DD YYYY

MEMORANDUM

TO: [Name], Chief Information Officer of the Commonwealth
FROM: [Name], Director, Strategic Management Services
SUBJECT: Request for Approval of [Publication Designator] [Publication Name]

The above referenced [Policy/Standard/Guideline (PSG)] is enclosed for your review and approval.

The [PSG] was developed to provide State agencies and institutions of higher education with a ... [state purpose of the PSG]. The [PSG] was available on ORCA, the Online Review and Comment Application, for a 30 day review and comment period and reflects those comments found to be applicable.

The [PSG] supports/does not support the Commonwealth Enterprise Architecture ... [explain how it supports Commonwealth Enterprise Architecture (EA) or the justification for the PSG not supporting EA]. The [PSG] ... [identify the benefits derived from the PSG, analyze the facts in support of or against a decision by the CIO to recommend the PSG to the Information Technology Investment Board (Board) for approval, and review any to be superseded as a result of the promulgation of the PSG].

The effective date of this [PSG] will be the date of your, or the Board's approval.

Once this memorandum is returned, indicating your desired action on the draft [PSG], the Policy, Practice and Architecture Division of Strategic Management Services if approved, will publish and distribute the [PSG] or submit the [PSG] to the Board on your behalf for their action.

CHIEF INFORMATION OFFICER ACTION

ITRM Policy: [Name]

<input type="checkbox"/> Policy approval will be recommended to the ITIB
<input type="checkbox"/> Approval of the Policy modified as requested will be recommended to the ITIB
<input type="checkbox"/> Recommendation against Policy approval will be forwarded to the ITIB
<input type="checkbox"/>
Lemuel C. Stewart, Jr., Chief Information Officer of the Commonwealth
Date

CHIEF INFORMATION OFFICER ACTION

ITRM Standard or Guideline: [Name]

<input type="checkbox"/> Forward to the ITIB for the 5-day notice period
<input type="checkbox"/> Place on the ITIB Agenda in lieu of the 5-day notice

<input type="checkbox"/> ITRM Standard is approved or approval will be recommended to ITIB.
<input type="checkbox"/> ITRM Standard modified as requested is approved or approval will be recommended to ITIB.
<input type="checkbox"/> ITRM Standard is denied or recommendation against approval will be forwarded to the ITIB.
<input type="checkbox"/>
Lemuel C. Stewart, Jr., Chief Information Officer of the Commonwealth
Date

3.2.2 PSG Rescission

MM DD YYYY

MEMORANDUM

TO: [Name], Chief Information Officer of the Commonwealth

FROM: [Name], Director, Strategic Management Services

SUBJECT: Request for Rescission of [Publication Designator] [Publication Name]

A Decision Paper in support of rescinding the above referenced [Policy/Standard/Guideline (PSG)] is enclosed for your review and approval. The Decision Paper was developed to ... [state purpose of the Decision Paper]. The Decision Paper was available on ORCA, the Online Review and Comment Application, for a 30 day review and comment period and reflects those comments found to be applicable.

The Decision Paper confirms the rescission of the [PSG] will not negatively impact the Commonwealth Enterprise Architecture governance structure of the Commonwealth ... [explain how it does not negatively impact the governance structure of the Commonwealth Enterprise Architecture]. The [PSG] ... [identify the benefits derived from rescinding the PSG, analyze the facts in support of or against a decision by the CIO to recommend the rescission of the PSG to the Information Technology Investment Board (Board) for approval].

The effective date of the rescission of this [PSG] will be the date of your, or the Board's approval.

Once this memorandum is returned, indicating your desired action on the rescission of the [PSG], the Policy, Practice and Architecture Division of Strategic Management Services if approved, will rescind and archive the [PSG] or submit the Decision Paper to the Board on your behalf for their action.

CHIEF INFORMATION OFFICER ACTION

____ Approved

____ Approved for Recommendation to the Board:

____ Approved for Recommendation to the Board as modified: _____

____ Denied:

[Name], Chief Information Officer of the Commonwealth

Date

3.3 APPENDIX C: Transmitting Memorandum to the Board

3.3.1 Policy Promulgation or Revision

MM DD YYYY

MEMORANDUM

TO: Information Technology Investment Board Members

FROM: [Name], Chief Information Officer of the Commonwealth

SUBJECT: Request for Approval of [Publication Designator] [Publication Name]

The above referenced [Policy] is enclosed for your review and approval.

The [Policy] was developed to provide State agencies and institutions of higher education with a ... [state purpose of the Policy]. The [Policy] was available on ORCA, the Online Review and Comment Application, for a 30 day review and comment period and reflects those comments found to be applicable.

The [Policy] supports/does not support the Commonwealth Enterprise Architecture ... [explain how it supports Commonwealth Enterprise Architecture (EA) or the justification for the Policy not supporting EA]. The [Policy] ... [identify the benefits derived from the Policy, analyze the facts in support of a decision by the Information Technology Investment Board (Board) to approve the Policy, and review any documents superseded as a result of the promulgation of the Policy].

The effective date of this [Policy] will be the date of the Board approval, as reflected in the Board's minutes.

c: Director of Strategic Management Services

3.3.2 Standard or Guideline Promulgation or Revision

MM DD YYYY

MEMORANDUM

TO: Information Technology Investment Board

FROM: [Name], Chief Information Officer of the Commonwealth

SUBJECT: Request for Approval of [Publication Designator] [Publication Name]

The above referenced [Standard or Guideline] has been revised and is enclosed for your review.

It is my intent to approve the enclosed [Standard or Guideline] for publication and distribution. Pursuant to the Board's Resolution adopted July 7, 2004 concerning authority for the approval or disapproval of information technology resource management (ITRM) standards and guidelines, the Board has the option of also reviewing the document for approval. If, however, I do not receive a request within five (5) working days from the date of this memorandum from a Board member that my intended action be presented for review at a meeting of the Board, I will proceed to consummate the approval.

The [Standard or Guideline] provides State agencies and institutions of higher education with *[identify the benefits derived from the Standard or Guideline, analyze the facts in support of a decision by the Information Technology Investment Board (Board) to approve the Standard or Guideline, and review any documents superseded as a result of the promulgation of the Standard or Guideline]*.

c: Director of Strategic Management Services

3.3.3 Policy Rescission

MM DD YYYY

MEMORANDUM

TO: Information Technology Investment Board Members

FROM: [Name], Chief Information Officer of the Commonwealth

SUBJECT: Request for Rescission of [Publication Designator] [Publication Name]

A Decision Paper in support of rescinding the above referenced Policy is enclosed for your review and approval. The Decision Paper was developed to ... *[state purpose of the Decision Paper]*. The Decision Paper was available on ORCA, the Online Review and Comment Application, for a 30 day review and comment period and reflects those comments found to be applicable.

The Decision Paper confirms the rescission of the Policy will not negatively impact the Commonwealth Enterprise Architecture governance structure of the Commonwealth ... *[explain how it does not negatively impact the governance structure of the Commonwealth Enterprise Architecture]*. The [PSG] ... *[identify the benefits derived from rescinding the PSG, analyze the facts in support of a decision by the Information Technology Investment Board (Board) for approval]*.

The effective date of the rescission of this Policy will be the date of the Board approval, as reflected in the Board's minutes.

c: Director of Strategic Management Services

3.3.4 Standard or Guideline Rescission

MM DD YYYY

MEMORANDUM

TO: Information Technology Investment Board Members

FROM: [Name], Chief Information Officer of the Commonwealth

SUBJECT: Request for Rescission of [Publication Designator] [Publication Name]

A Decision Paper in support of rescinding the above referenced [Standard or Guideline] is enclosed for your review and approval.

It is my intent to approve the enclosed Decision Paper to rescind and archive the referenced [Standard or Guideline]. Pursuant to the Board's Resolution adopted July 7, 2004 concerning authority for the approval or disapproval of information technology resource management (ITRM) standards and guidelines, the Board has the option of also reviewing the Decision Paper for approval. If, however, I do not receive a request within five (5) working days from the date of this memorandum from a Board member that my intended action be presented for review at a meeting of the Board, I will proceed to consummate the approval.

The Decision Paper confirms the rescission of the [Standard or Guideline] will not negatively impact the Commonwealth Enterprise Architecture governance structure of the Commonwealth ... [explain how it does not negatively impact the governance structure of the Commonwealth Enterprise Architecture]. The [Standard or Guideline] ... [identify the benefits derived from rescinding the Standard or Guideline, analyze the facts in support of a decision by the Information Technology Investment Board (Board) for approval].

c: Director of Strategic Management Services

APPENDIX D: Email Communiqué to Leadership

The Leadership Communiqué announcing the forthcoming publication/revision/rescission of a policy, standard or guideline will be drafted by the Policy, Practice and Architecture Division and submitted to the Director of VITA's Strategic Management Services for submission to the Secretary of Administration for distribution.

ITRM [Publication Designator][Publication Name]

This [Publication Name] [Publication Designator] will be published [state approximate date, e.g. "next week"] and all Agency Information Technology Resources (AITRs) will be notified the day of publication. The purpose of the [PSG] is to provide State agencies and institutions of higher education with a ... [state purpose of the PSG and make a value statement].

[If helpful, add an additional clarifying paragraph]

A copy of the [PSG] may be found on the VITA website at URL:

<http://www.vita.virginia.gov/docs/psg/SMS> [Publication Designator]. Questions regarding the [PSG] should be directed to Paul Lubic, Associate Director for Policy, Practice and Architecture in Strategic Management Services, at (804) 371-0004 or paul.lubic@vita.virginia.gov.

3.4 APPENDIX E: Email Announcement to AITRs

The announcement of the forthcoming publication/revision/rescission of a policy, standard or guideline will be drafted by the Policy, Practice and Architecture Division and emailed to the Agency Information Technology Resources (AITRs).

Agency Information Technology Resources:

The [Publication Name] [Publication Designator] was developed to provide State agencies and institutions of higher education with a ... [state purpose of the PSG and make a value statement].

The [PSG] may be viewed together with its cover memorandum from the Chief Information Officer of the Commonwealth at the following URLs:

[PSG]:

<http://www.vita.virginia.gov/docs/psg/SMS> [Publication Designator]

Memo:

<http://www.vita.virginia.gov/docs/memos/CIO-to-Agy-Hds-re-> [Publication Designator]

To better utilize your positions as AITRs, we are only sending this [PSG] notice to you. We are counting on you to ensure that all those in your agency, both at the management and technical level, who are involved with [identify the purpose of the PSG] are aware of and understand this [PSG].

Thank you,
[Name of Sender]

c: Council on Technology Services
VITA Enterprise Service Directors

3.5 APPENDIX F: PSG Development Style Guide¹

1. DOCUMENT FORMAT

1.1. Layout: Use the following format layout to structure technical standards:

1.1.1. Cover

1.1.2. Preface (including)

Publication Designation

Subject

Effective Date

Supersedes

Scheduled VITA Review

Authority

Scope

Purpose

General Responsibilities

Related COV ITRM PSGs

1.1.3. Updates to PSG Publications

Change Notices

1.1.4. Table of Contents

1.1.5. Executive Summary (optional)

1.1.6. Introduction (including)

Purpose (restate 1.1.2.8)

Benefits

Definitions (optional)

1.1.7. Statement of ITRM Policies, Standards, or Guidelines (including) (the level of number in this section will depend on the complexity of the document and the titles below are for example only)

Statement A. (including)

Applicability (optional)

References (optional)

Text

Statement B. (including)

Applicability (optional)

References (optional)

Text

¹ Source: U.S. Department of Energy, *Style Guide* August 1, 2000

Tables (optional)

Figures (optional)

1.1.8. Appendixes

1.1.9. Index (optional)

1.1.10. Concluding Material (optional)

2. PAGE FORMAT

2.1. Layout: Type the body of the document using 11-point Times New Roman type (Arial or Verdana may be used in the Appendixes) with single line spacing, except in the Preface. In the Preface use 9-point Times New Roman type in double columns with single line spacing. Use 8.5 by 11-inch plain white bond paper (without a watermark). Set a 1 inch margin for the right and left, and a 0.8 inch margin for the top and bottom of the page using Microsoft Word. Place the Publication Identification as described in Appendix G.

2.2. Page Numbering:

2.2.1. Beginning with the with the first right-hand page after the cover page, identify all pages up to the Executive Summary consecutively in the bottom center of the page with lowercase Roman numerals omitting number i (for example, ii, iii, iv, and v). Page i is the cover page which is unnumbered.

2.2.2. Beginning with the page upon which the Executive Summary starts, number all pages consecutively at the bottom center of the page in Arabic numbers. On the pages which must unavoidably be left blank, number the blank page and insert the words "INTENTIONALLY BLANK" on the middle of the page. Appendixes and indexes are also to be numbered for clarity of the document.

2.3. Header

2.3.1. Header: On each page place the Subject in the upper left-hand side of the header; place the Publication Designation, and Effective Date in the right-hand side of the header.

3. COVER PAGE

3.1. Header: Place the Subject, Publication Designation, and Effective Date in the right-hand side of the header on the cover page.

3.2. Subject: The titles for documents are to be selected by the SMS. They are to include a concise basic name together with such modifiers as are necessary to identify the coverage of the document and clearly distinguish between other documents covering similar subjects.

4. UPDATES TO ITRM PUBLICATIONS

4.1 Change Notice. The Policy, Practice and Architecture (PP&A) Division of Strategic Management Services (SMS) will maintain the document by issuing change notice alerts (see Figure 3) on a quarterly basis during the quarter closest to the twelfth-month anniversary date of publication or sooner if necessary as determined by the Director of SMS.

4.2 Change notice alerts are used to transmit revisions of the ITRM publications to users. These changes are accomplished by making the necessary revision(s) to the page or section affected in the same manner as pages of a new publication. The change notice provides the user with the publication's version number, the date of the change which is the latest effective date of the publication (see Appendix G: Designators for PSGs), the number of the page and section changed, and a brief description of the change.

Version	Date	Page / Section	Change
Original	TBD	None	None
Revision 1	TBD	p. 5 / Section 1, 1.1 Purpose	The last paragraph was added.
Revision 2	TBD	p. 15 / Section 2, 2.2. PSG Process ...	This section was added.
Revision 3	TBD	p. 6 / Section 2, 2.3 PSG Promulgation ...	2.3.2 Third paragraph, second sentence, "a" document was changed to "the" document.
		p. 32 / Section 3, 3.7 Appendix X:	Second paragraph, fifth sentence, "the Director of" inserted between "to" and "the agency."
etc.	TBD	TBD	TBD

Figure 3. Change Notice Example

4.3 Goals of the ITRM Change Control Procedure

4.3.1 This change control procedure:

Provides a mechanism for accepting changes that improve the ITRM document overall while rejecting those that do not.

Allows for formal acceptance (approval) of ITRM documents after their initial formative development has been completed.

Facilitates efficient changes to ITRM documents after their initial acceptance, recognizing that the impact of a change to a work product is dramatically different after the work product has been accepted.

Allows all parties materially affected by proposed changes to accepted ITRM documents to assess the resource, schedule, and/or product impact of the changes.

Allows changes to accepted ITRM documents to be proposed and evaluated, schedule and impact assessed, and approved or rejected into revised PSG documents in a controlled manner.

Notifies interested parties on the periphery of development regarding change proposals, their assessed impact, and whether the changes were approved or rejected.

Provides an historic trail of the development of ITRM documents.

5. **PREFACE**

5.1. Subject: Restate the title and add amplification, as necessary.

5.2. Effective Date: Is the date approved by the Chief Information Officer of the Commonwealth.

5.3. Compliance Date: Is the date an organization must conform to the requirements stated in the document.

5.4. Supersedes: Identify the version of the documents superseded by this document. If this is a new PSG state "None."

5.5. Scheduled VIAT Review: The standard review cycle is one year from the effective date, then every two years thereafter. If document should be reviewed more frequently, state the modified cycle and the reason therefore.

5.6. Authority: Cite the pertinent sections from the *Code of Virginia*, which authorize VITA to develop and promulgate the PSG.

- 5.7. Scope: Identify the organizations required to comply with this PSG. Customarily VITA PSGs apply only to Executive Branch Agencies and Institutions of Higher Educations. If other entities are to comply, identify them; and, identify any entities exempted from the document.
- 5.8. Purpose: Summarize the intent of the document and the reason for its development.
- 5.9. General Responsibilities: Detail the pertinent language for the authorities cited in 4.6.
- 5.10. Related COV ITRM PSGs: List any associated polices, standards and/or guidelines.

6. TABLE OF CONTENTS

- 6.1. Place the words "TABLE OF CONTENTS" in capital letters at the head of the contents page. The body of the Table of Contents will include the headings for major sections and their page numbers. Do not list sections before the Table of Contents page and thereafter below the level of Microsoft Heading 3 "Requirements" (e.g., section 21.1). The contents should also list figures, tables, appendixes, and the index and concluding material, if these are included.

7. EXECUTIVE SUMMARY (OPTIONAL)

- 7.1. In lengthy documents, develop a concise and thorough synopsis of the document.

8. INTRODUCTION

- 8.1. Prepare an Introduction that includes an implementation paragraph and a beneficial comments paragraph. Additional numbered statements may be included to explain the reasons or purpose for the new PSG or give background information in the case of a revised PSG. The Introduction may also include a brief summary of development history and a statement of reason for a particular format or sequence in the presentation of the specific requirements. Also, if appropriate and approved by SMS, the introduction may include an acknowledgment of or a list of personnel involved in the preparation and review of the document.

9. STATEMENT OF ITRM POLICIES, STANDARDS, OR GUIDELINES *(Main text of Document)*

9.1. Statements

- 9.1.1. Applicability (optional): When appropriate, make a statement on the extent of selective application of the provisions of the document. Provide sufficient guidance regarding the phase or phases of activity for which it is intended; the range of characteristics, processes, or disciplines to which it applies; and the interrelationship between the facets of the subject of the document and the intended use. If misinterpretation of the intent of application is possible, statements of non-application may be more appropriate. When more extensive application guidelines are needed than can be readily included in the text of the Requirement, an appendix should be included to describe the guidelines.

- 9.1.2. References (optional): Footnote only those documents referenced within the text section of the Requirement (see section 8.1.3.7). Documents used for information to help prepare the PSG should be listed in an appendix, not footnoted in the Requirements section. Take care in referencing non-Government publications. Ensure the availability of copies and obtain prior approval of the copyright owner, if required. Confine references to current documents readily available at the time of issuance of the document.

9.1.3. Text:

Paragraph Number and Titles: Number each paragraph consecutively within each section of the document, using a period to separate the number representing each breakdown. For clarity of text, paragraph numbering should be limited to three sublevels, unless additional sublevels are unavoidable.

Example for Section 8:

Section title	4 Section No.
First paragraph	4.1 First levels
First subparagraph	4.1.1 Second level
Second paragraph	4.2 First levels
First subparagraph	4.2.1 Second level
Second subparagraph	4.2.2 Second level

Underlining: Except in the cases of a at title at the beginning of a paragraph, portions of paragraphs should not be underlined and words or phrases should not be capitalized for the sake of emphasis.

Grammar and Style: The VITA Executive Support and Communications (VITA Communications Group) group recommends using either of the following styles guides – *The Elements of Style*, 4th Edition, by William Strunk Jr. and E.B. White or *The Associated Press Stylebook 2003* (the AP Stylebook); published by the Associated Press; Editor Norm Goldstein – as a guide for capitalization, spelling, punctuation, compound words, tabular work, and other elements of grammar and style. Any question concerning grammar and style not covered in the style guides should be directed to the VITA Communications Group.

Abbreviations: Use abbreviations in accordance with the style guides referenced in 8.1.3.3 where applicable. The first time an abbreviation is used place it in parentheses preceded by the full unabbreviated title. Any question concerning abbreviations not covered in the style guides should be directed to the VITA Communications Group.

Shall, Should and Will Statements: Clear distinction should be made between requirements portions and guidance portions of documents. "Shall" is used to denote actions that must be performed in order to meet the objectives stated in the document, and "should" is used to indicate recommended practices. "Will" may be used to express a declaration of purpose, indicating future intent.

Decimal Usage: Use decimals in documents instead of fractions wherever possible.

Footnotes: Footnotes and notes may be used to convey additional information that is not properly a part of the text. Place the footnote to the text at the bottom of the page containing the reference to it. Consecutively number footnotes throughout the document with Arabic numerals. Use the Arabic numeral to identify the reference in the text.

- 9.1.4. Tables (optional): Use a table when information can be presented more clearly than as text. Make references in the text to the table sufficiently detailed to make the purpose of the table clear. Place the tables immediately following or within the paragraph containing the first reference. If space does not permit, the table may be placed on the following page. Number all tables throughout the document with Roman numerals in the order of their reference in the text, even if only one table appears in the document and capitalize and italicize the word "TABLE"; followed by the table number and a period; followed by the underlined title. Capitalize the first letter of each word in the title with the exception of internal conjunctions, prepositions, and articles (i.e. "and," "or," "the," "to," etc.). Center table titles above the table and on the same line with the table number. If the title is too long to be typed on one line, align the second line with the first letter of the title.
- 9.1.5. Figures (options): Place figures immediately following or within the paragraph containing the first reference to the figure. Number figures consecutively throughout the document with Arabic numerals in the order of their reference in the text, even if only one figure is referenced in the document. Capitalize and italicize the word "FIGURE"; followed by the Arabic numeral and a period; followed by the title. Capitalize the first letter of each word in the title with the exception of internal conjunctions, prepositions, and articles (i.e. "and," "or," "the," "to," etc.). Center figure titles below the graphic and, if possible, on the same

line with the figure number. If the title of the figure is too long to be typed on one line, align the second line with the first letter of the title.

10. APPENDIXES

- 10.1. Appendixes may be added to a PSG document for the purpose of including any detailed information that is a necessary part of the document but is too lengthy for inclusion in the main text. Capitalize in the upper left hand corner of the page the word "APPENDIX"; followed by an alphabetical identifier, such as A, B, C, etc.

11. INDEX (OPTIONAL):

- 11.1. An alphabetical index may be placed at the end of the document to permit ready reference to its contents. Use an index only for lengthy documents. If used, the index follows the basic document and any appendix. The pages are numbered continuously following the last page of the basic document or appendix, as applicable. Add the word "INDEX" in the upper center of each page.

3.7 APPENDIX G: Designators for PSGs

Assignment of Uniform Alphanumeric Publication Designations for all Policies, Standards, and Guidelines

VITA's Strategic Management Services directorate is responsible for assigning a uniform alphanumeric Publication Designation (PD) to all Commonwealth of Virginia Information Technology Resource Management (ITRM) Policies, Standards, and Guidelines (PSG). The PD is derived, in part, from components of the Commonwealth Enterprise Architecture (EA) known as "Infrastructure Domains."

The following alpha codes shall be used to identify each PSG:

<u>Infrastructure Domains + Governance</u>	<u>Code</u>
Governance and Transitional Processes	GOV
Commonwealth Project Management	CPM
Platform Architecture	PLA
Database Architecture	DAT
Network Architecture	NET
Security Architecture	SEC
Systems Management Architecture	SYS
Information Architecture	INF
Application Architecture	APP
Middleware Architecture	MID

Publication Designations are constructed as follows:

ITRM ("Policy," "Standard," or "Guideline") CCC NNN-RR

- Where: CCC is the Code for the assigned Enterprise Architecture category designation (e.g., GOV)
- NNN is the unique sequence number assigned to each P, S, or G. The lowest number in use is 101.
Numbers are not reused following a rescinding of a P, S, or G. Numbers have no meaning by themselves.
- RR is the revision number for the P, S, or G (e.g., 101-02 would indicate the second revision of 101). Together, the NNN number and the RR number identify a unique P or S or G. Each unique P or S or G will be archived if rescinded or superseded. The first PSG Standard on Topic A would be designated NNN-00.
- Example: ITRM Standard GOV 101-00 was a new standard in 2000. Its effective date (MM DD YYYY) would appear in all page headers of the publication. ITRM Standard GOV 101-01 is the first revision of the original 2000 standard above. The latest effective date (MM DD YYYY) would replace the effective date and appear in all page headers of the publication.

Note: This unique numbering scheme permits the name to be modified as part of a revision allowing the number to track a topic consistently over time even though the content may have expanded in scope or in requirements. Title changes are not recommended unless they are required for clarification of content.

Publication Name

The full publication name would be stated as follows:

ITRM Standard GOV 101-01: Process Governing ITRM Policies, Standards and Guidelines.

Publication File Name

To enhance the readability of a file name used on the Internet, and to ensure ease of identification of the latest revision, the word “Policy, Standard, or Guideline” should appear first followed by the unique number, followed by the publication name and then the remainder of the PD. The following format would result.

ITRM_StandardGOV_101-01_ProcessGoverningPoliciesStandardsAndGuidelines.doc

3.8 APPENDIX H: Resolution of the Board

RESOLUTION

VIRGINIA INFORMATION TECHNOLOGY INVESTMENT BOARD

RESOLVED, that the Virginia Information Technology Investment Board assigns authority for the approval and disapproval of information technology resource management standards and guidelines to the Commonwealth Chief Information Officer, in accordance with the following guidelines:

- The CIO shall not approve standards and guidelines that affect the Board's operation.*
- The CIO shall notify the full Board of the intent to approve or disapprove an information technology resource management standard or guideline at least 5 working days before taking such action. The CIO shall not proceed to approve or disapprove any information technology resource management standard or guideline if any Board member, within the 5 working day notice period, requests that the intended CIO action be presented for review at a meeting of the Board.*
- At each regularly scheduled meeting of the Board, the CIO shall report on those information technology resource management standard and guideline actions, CIO approvals and disapprovals, taken since the last regularly scheduled meeting of the Board.*
- At the direction of the Board, the CIO shall review an information technology resource management standard or guideline and make a recommendation to the Board for the approval or disapproval of an information technology resource management standard or guideline.*

ADOPTED BY THE IT INVESTMENT BOARD ON JULY 7, 2004